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ABSTRACT

Patterns that emerged from reviewing 14 syllabi for courses on governance in higher education are discussed, and four sample syllabi are presented. These courses are offered as part of graduate level studies in the field of higher education. A definition of governance that emerged from the 14 syllabi might be that of a study of authority and power in decision-making among the internal and external forces affecting the institution. Many other definitions were identified. Higher education periodicals used most frequently by faculty of governance courses are listed, along with the names of resource materials most commonly used, and the number of course syllabi that cited a particular reference. The 14 people who submitted course syllabi and the syllabi network is are identified. Sample syllabi from New York University, the University of Wisconsin-Madison, the University of Michigan, and the University of Chicago are provided. Each syllabus identifies course objectives, requirements, teaching approaches, and subtopics of concern. Two of the syllabi focus on higher education's relationship with state and federal governments. One of the syllabi offers an integrated approach to a seminar in the subject area of governance in higher education. A list of members of the course syllabi network is included. (SW)

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ASHE ERIC

Clearinghouse for Course Syllabi in Higher Education

GOVERNANCE

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HE 019 586

A Project of the

Association for the Study of Higher Education

Committee on Curriculum, Instruction, and Learning

1986

GOVERNANCE

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"COURSE SYLLABI: GOVERNANCE IN COLLEGES AND UNIVERSITIES"

John J. Gardiner
Oklahoma State University

As Adam Yarmolinsky noted, "One of the more remarkable things about universities in the first three quarters of this century is that, with few honorable exceptions, they have managed to survive, and even to prosper, without developing any conscious process for making institutional choices... now that universities are discovering the limits of growth, they must also learn a good deal more about the art of governance, which, we have been taught, is the art of choice." As American higher education faces the conflicting demands for institutional autonomy and governmental insistence on accountability, the need to find solutions to the governance crises facing higher education grows. Herbert Simon observed that "the information-processing systems of our contemporary world swim in exceedingly rich soup of information, of symbols. In a world of this kind, the scarce resource is not information; it is processing ability to attend to information." Too much of our information is disorganized; and too little of the knowledge we need to make decisions is readily available. Information, accumulating at an exponential rate, has been creating a lag in meaning formation. The study of governance, as described in the fourteen course syllabi reviewed for the ASHE/ERIC Course Syllabi Clearinghouse, attempts to respond to the dilemma of an emerging information-processing society by focusing attention on the structures and processes surrounding governance in colleges and universities, the influences and constraints on those structures and processes, and the theories and methods for improving and evaluating the

effectiveness and efficiency of various governance mechanisms. Relationships between higher education and state government and between higher education and the federal government also offer unique perspectives for the analyses of governance in colleges and universities. As Marvin Peterson noted, however, there is "an image of adolescence" surrounding developments in postsecondary organization theory and research. Major concerns identified by Peterson were limited development and/or use of theoretical models or concepts, studies that are too often exploratory case studies or descriptive surveys, poor replication studies and use of unreliable instruments, and sophisticated theoretical formulations and designs from scholars with disciplinary backgrounds that were far ranging. These problems influenced the current status of organization theory as an emerging scholarly arena. Increasing the dialogue, interdisciplinary networks, and collaborative activities seemed to be called for during these times of "adolescent" research development.

The following fourteen people submitted course syllabi focusing on governance in higher education. Asterisks (*) have been used to designate the course syllabi selected for inclusion in the ASHE/ERIC System.

Jerry Bailey The University of Kansas
"The Governance and Administration of Higher Education"

*James L. Bess New York University
"Governance of Colleges and Universities"

Robert Birnbaum Teachers College-Columbia
"Issues in Organizational Theory and Administration in Higher Education"

John J. Gardiner Oklahoma State University
"Governance in Higher Education"

Gregory A. Jackson Harvard University
"Inquiry: Analyzing Decisions"

*Joseph F. Kauffman University of Wisconsin-Madison
"Colleges and Universities: Their Organization and Governance"

Daniel Levy Yale University
"The Politics of Higher Education"

*James L. Miller, Jr. The University of Michigan
"State Government - Higher Education Relations"

Marvin W. Peterson The University of Michigan
"College Organization and Administration"
"Governance, Planning, and Decision-Making in Higher Education"
(brief outline available)

Richard C. Richardson, Jr. Arizona State University
"Administration of Higher Education"

Daryl G. Smith Claremont Graduate School
"The Governance and Politics of Higher Education"

James L. Wattenbarger University of Florida
"Higher Education Administration"

*John T. Wilson University of Chicago
"Higher Education and the Federal Government"

James M. Yankovich College of William and Mary
"Organization and Governance of Higher Education"

A definition of governance that seems to collectively emerge from the above fourteen syllabi might be that of a study of authority and power in decision making among the internal and external forces impacting on an institution of higher learning. Many other definitions, more and less operationally effective,were identified. In reviewing resource materials most commonly used in the governance area, the following list resulted. Numbers to the left of each citation indicate the number of course syllabi that cited a particular reference. In addition to the books cited on the next several pages and listed in order of use by faculty noted above, the following higher education periodicals were cited most often: AAUP Bulletin, Academe, AGB Reports, American Educational Research Journal, Change Magazine, "The Chronicle of Higher Education", Community and Junior College Journal, Compact, Current Issues in Higher Education, Educational Record, ERIC/ASHE Research Reports, Higher Education: International Journal, Higher Education in the States,

Jossey-Bass

Monograph Series, Journal of Higher Education, Liberal Education, Phi Delta Kappan, Planning in Higher Education, Research in Higher Education, Review of Educational Research, and Sociology of Education.

10 Cohen, Michael D. and March, James G. Leadership and Ambiguity: The American College President. New York: McGraw-Hill, 1974.

9 Corson, John J. The Governance of Colleges and Universities. New York: McGraw-Hill, 1975.

8 Baldridge, J. Victor; Curtis, Davis V.; Ecker, George; and Riley, Gary L. Policy Making and Effective Leadership. San Francisco: Jossey-Bass, 1978.

8 Keeton, Morris, Shared Authority on Campus. Washington, D.C.: American Association for Higher Education, 1971.

7 Blau, Peter M. The Organization of Academic Work. New York: John Wiley and Sons, 1973.

7 Cowley, W.H. Presidents, Professors and Trustees: The Evolution of American Academic Government. San Francisco: Jossey-Bass, 1980.

7 Kauffman, Joseph F. At the Pleasure of the Board. Washington, D.C.: American Council on Education, 1980.

7 Perkins, James A. The University as an Organization. New York: McGraw-Hill, 1973.

6 Astin, Alexander W. and Scherrei, Rita A. Maximizing Leadership Effectiveness. San Francisco: Jossey-Bass, 1980.

6 Baldridge, J.V. Academic Governance: Research on Institutional Policies and Decision Making. Berkeley, California: McCutcheon Press, 1971.

6 Birnbaum, Robert (ed.). ASHE Reader in Organization and Governance in Higher Education. Lexington, Massachusetts: Ginn Custom Publishing, 1984. (Revised edition)

6 Mortimer, Kenneth P. and T.R. McConnell. Sharing Authority Effectively. San Francisco: Jossey-Bass, 1978.

6 Sprunger, Benjamin E. and Bergquist, William H. Handbook for College Administration. Washington, D.C.: Council for the Advancement of Small Colleges, 1978.

6 Walker, Donald E. The Effective Administrator. San Francisco: Jossey-Bass, 1979.

5 Balderston, Frederic E. Managing Today's University. San Francisco: Jossey-Bass, 1974.

5 Bowen, Howard. Investment in Learning: The Individual and Social Value of American Higher Education. Jossey-Bass, 1977.

5 Eble, Kenneth E. The Art of Administration. San Francisco: Jossey-Bass, 1978.

5 Gross, Edward and Grambsch, Paul V. Changes in University Organization, 1964-1971. New York: McGraw-Hill, 1974.

5 Ingram, R. and Associates. Handbook of College and University Trusteeship. San Francisco: Jossey-Bass, 1980.

5 Eugene Lee and Frank Bowen, The Multicampus University: A Study of Academic Governance. New York: McGraw Hill, 1971.

5 Mason, Henry L., College and University Government: A Handbook of Principle and Practice. Tulane Studies in Political Science, Volumn XIV, Tulane University, New Orleans, 1972.

5 Mayhew, Lewis B. Surviving the Eighties. San Francisco: Jossey-Bass, 1979.

5 Millett, John D., New Structures for Campus Power, San Francisco: Jossey-Bass, 1978.

4 Berdahl, Robert O. Statewide Coordination of Higher Education. Washington, D.C.: American Council on Education, 1971.

4 Carnegie Foundation for the Advancement of Teaching. The Control of the Campus. Washington, D.C.: Carnegie Foundation, 1982.

4 Glenny, Lymon A., et al. Presidents Confront Reality. San Francisco: Jossey-Bass, 1976.

4 Ikenberry, Stanley O. and Friedman, Renee C. Beyond Academic Departments. San Francisco: Jossey-Bass, 1972.

4 Katz, Fremont E. and Rosenzweig, James E. Contingency Views of Organization and Management. Chicago: Science Research Associates, 1973.

4 Katz, Daniel and Kahn, Robert L. The Social Psychology of Organizations. (2nd edition.) New York: Wiley, 1978.

4 Kemerer, Frank R. and Baldridge, J. Victor. Unions on Campus. San Francisco: Jossey-Bass, 1975.

4 Kerr, Clark. Uses of the University, Harvard University Press, 1963.

4 Millett, John D. The Academic Community: An Essay on Organization. New York: McGraw Hill, 1962.

4 Nason, J.W. The Future of Trusteeship: The Role and Responsibilities of College and University Boards. Washington, D.C.: Association of Governing Boards of Colleges and Universities, 1974.

4 Richman, Barry M. and Farmer, Richard N. Leadership, Goals, and Power in Higher Education. San Francisco: Jossey-Bass, 1976.

4 Rowland, A. Westley. Handbook of Institutional Advancement. San Francisco: Jossey-Bass, 1977.

4 Stroup, Herbert. Bureaucracy in Higher Education. New York: Free Press, 1968.

4 Wildavsky, Aaron. The Politics of the Budgetary Process. (2nd edition). Boston: Little, Brown and Company, 1974.

3 Graham T. Allison, Essence of Decision: Explaining the Cuban Missle Crisis. Boston: Little, Brown and Company, 1971.

3 Ashworth, K.H. American Higher Education in Decline. College Station: Texas A&M Press, 1979.

3 Astin, Alexander W. The College Environment. Washington, D.C.: American Council on Education, 1968.

3 Baldridge, J. Victor and Tierney, Michael L. New Approaches to Management. San Francisco: Jossey-Bass, 1979.

3 Berdahl, Robert O. Evaluating Statewide Boards. San Francisco: Jossey-Bass, 1975.

3 Blake, Robert R., Mouton, Jane S. & Williams, Martha S. The Academic Administrator Grid. San Francisco: Jossey-Bass, 1981.

3 Breneman, David and Finn, Chester, eds., Public Policy and Private Higher Education. Washington, D.C.: Brookings, 1978.

3 Carbone, Robert E. Presidential Passages. Washington, D.C.: American Council on Education, 1981.

3 Carnegie Commission on Policy Studies in Higher Education. Faculty Bargaining in Public Higher Education. San Francisco: Jossey-Bass, 1977.

3 Clark, Burton and Youn, Ted. Academic Power in the United States Washington, D.C.: ERIC/ASHE Higher Education Research Report #3, 1976.

3 Commission on Academic Tenure. Faculty Tenure. San Francisco: Jossey-Bass, 1973.

3 Demerath, Nicholas H., Stephens, Richard W., and Taylor, R. Robb. Power, Presidents, and Professors. New York: Basic Books, 1967.

3 Dressel, Paul. Administrative Leadership. San Francisco: Jossey-Bass, 1981.

3 Duryea, E. et al. Faculty Unions and Collective Bargaining. San Francisco: Jossey-Bass, 1974.

3 Fortunato, Ray T. and Waddell, D. Geneva. Personnel Administration in Higher Education: Handbook of Faculty and Staff Practices. San Francisco: Jossey-Bass, 1981.

3 Glenny, Lyman A., et al. Coordinating Higher Education in the 70's. Berkeley, California: The Center for Research and Development in Higher Education, 1971.

3 Glenny, Lyman and Dalgish, T. Public Universities, State Agencies and the Law. Berkeley, California: Center for Research and Development in Higher Education, 1973.

3 Halstead, D. K. Statewide Planning in Higher Education. Washington, D.C.: U.S. Government Printing Office, 1974.

3 Heilbron, Lewis. The College and University Trustee: A View from the Board Room, San Francisco: Jossey-Bass, 1973.

3 Helsabeck, R. The Compound System: A Conceptual Framework for Decision Making in Colleges. Berkeley, California: University of California, CRDHE, 1973.

3 Hodgkinson, Harold L. The Campus Senate. Berkeley, California: Center for Research and Development in Higher Education, 1974.

3 Hodgkinson, Harold L. and Meeth, L. Richard. Power and Authority. San Francisco: Jossey-Bass, 1971.

3 Kaplin, W. The Law of Higher Education: Legal Implications of Administrative Decision Making. San Francisco: Jossey-Bass, 1978.

3 Keller, George. Academic Strategy: The Management Revolution in American Higher Education. Baltimore: The Johns Hopkins University Press, 1983.

3 Lahti, Robert E. Innovative College Management. San Francisco: Jossey-Bass, 1973.

3 Lewis, D.R. and Becker, W.B, eds. Academic Rewards in Higher Education. Cambridge: Ballinger, 1979.

3 March, James G. and Olsen, Johan P. Ambiquity and Choice in Organizations. Bergen: Universitetsforlaget, 1979. (2nd edition).

3 McCorkle, Chester O., Jr. and Archibald, Sandra Orr. Management and Leadership in Higher Education. San Francisco: Jossey-Bass, 1978.

3 McHenry, D.E. and Associates. Academic Departments: Problems, Variations, and Alternatives. San Francisco: Jossey-Bass, 1978.

3 Mingle, James R. and Associates. Challenge of Retrenchment: Strategies for Consolidating Programs, Cutting Costs, and Reallocating Resources. San Francisco: Jossey-Bass, 1981.

3 Pusey, Nathan M. American Higher Education, 1947-1970. Cambridge: Harvard University Press, 1978.

3 Riesman, David. On Higher Education. San Francisco: Jossey-Bass, 1980.

3 Rourke, Frances E. and Brooks, Glenn E. The Managerial Revolution in Higher Education. Baltimore: Johns Hopkins Press, 1966.

3 Rudolph, Frederick. The American College and University, A History. New York: Vintage Books, 1965.

3 John Van de Graaff, ed. Academic Power: Patterns of Authority in Seven National Systems of Higher Education. New York: Praeger, 1978.

3 Weick, Karl E. The Social Psychology of Organizing. Reading, Massachusetts: Addison-Wesley, 1979 (2nd edition).

3 Zwingle, S. L. Effective Trusteeship: Guidelines for Board Members. Washington, D.C.: Association of Governing Boards, 1979.

The course syllabi selected for inclusion in the ASHE/ERIC clearinghouse collection identify course objectives, requirements, teaching approaches, and subtopics of concern. Of the four course syllabi, James Bess' course on "Governance of Colleges and Universities" offers a particularly integrated approach to a seminar in the subject area. Joseph Kauffman's course syllabi in the area, with its useful organizational rationale and insightful selections, presents an excellent alternative approach. The syllabi of James L. Miller, Jr. and John T. Wilson focus on higher education's relationship with state and federal governments. The ten remaining course syllabi were all worthwhile and helpful, but for reasons of space not included in the ASHE/ERIC system. Please write directly to the author of any of these ten course syllabi requesting a copy if interested.

In an address to the 1984 Conference on Postsecondary Education, Clark Kerr noted the centrality of governance in the study of higher education for at least the next several decades. That centrality is echoed by many other leaders of American higher education. Faculty interested in developing seminars in the area of governance might consider some of the resources and directions outlined in the syllabi housed in the ASHE/ERIC system. These materials, in the judgment of the author, offer useful insights for the design of a seminar on governance in higher education.

Gardiner

(1)

NEW YORK UNIVERSITY
School of Education, Health, Nursing
and Arts Professions

Program in Higher Education

E98.2119 Governance of Colleges and Universities

Mondays & Thursdays,
4:00-8:30 p.m.
Summer, 1983

Prof. James L. Bess
East Building, Room 316
(212)598-2788

Course Objectives

The purposes of this course are four. They are to help students to:

1) understand governance structures and processes in colleges and universities

2) identify the sources of influence and constraint on the structure and processes of governance

3) apply various theories of power and authority in the diagnosis of the problems of governance

4) develop competencies in evaluating and improving the efficiencies of the governance mechanisms.

Requirements

In addition to reading assigned material and participating in class discussions, students will be responsible for the following:

1) **Analysis of the power structure of their own institutions. A paper of no more than five pages is due on June 20. Students should secure (and append to their papers) a copy of the organizational chart for their institutions and utilize the literature referred to in the course analyzing the structure.**

2) **Analysis of a case (to be distributed in class). Paper should be no more than five pages and should utilize the readings to date. Due: June 27.**

3) **Literature review and analysis of governance theory. A paper of 10-12 pages should review, summarize, and synthesize the several competing theories of governance, documenting the arguments with citations from the assigned readings as well as other books and periodicals. Due no later than July 18.**

Assigned Books and Journal Articles

The following texts are required for the course:

Pfeffer, Jeffrey, Organizational Design, Arlington Heights, Ill, Davidson, Harlan, Inc., 1978.

Baldridge, J. Victor et. al., Policy Making and Effective Leadership, San Francisco, Jossey-Bass Publishers, 1978.

Corson, John J., The Governance of Colleges and Universities, Revised Edition, New York, McGraw Hill Book Company, 1975.

Assignments will also be made from the following books and journals. Students will be responsible for obtaining the materials from local or NYU libraries. While only the selections noted are required, it is is recommended that students read more broadly in these sources.

Academe, January-February, 1982 -- whole issue on governance in higher education.

Baldridge, J. Victor & Frank R. Kemerer, "Images of Governance: Collective Bargaining versus Traditional Models," in Gary L. Riley & J. Victor Baldridge, Governing Academic Organizations, Berkeley, McCutchan Publishing Corporation, 1977.

Childers, Marie E., "What is Political About Bureaucratic Decision-Making?", The Review of Higher Education, Fall, 1981, 5, 1, 25-45.

Clark, Burton R., "Academic Power: Concepts, Modes and Perspectives," in John Van de Graaf etal, Academic Power, New York, Praeger Publishers, 1978.

Cohen, Michael D. & James G. March, Leadership and Ambiguity, New York, McGraw Hill Book Company, 1974.

Keeton, Morris, "The Constituencies and Their Claims," in Shared Authority on Campus, Washington, D.C., American Association for Higher Education, 1971.

Lindquist, John D. & Robert T. Blackburn, "Middlegrove: The Locus of Campus Power at a State University," AAUP Bulletin Winter, December, 1974, 60, 4, 367-378.

Mason, Henry L., College and University Government, A Handbook of Principle and Practice, Tulane Studies in Political Science, Volume XIV, Tulane University, New Orleans, 1972.

Regan, Mary C., "Student Participation in Governance of a Complex Multi-campus System," The Review of Higher Education, Spring, 1981, 4, 3, 17-33.

Sprunger, Benjamin E. & William H. Berquist, "Organizing" in Handbook for College Administration, Washington, D.C., Council for the Advancement of Small Colleges, 1978, pp. 49-62.

Additional recommended books:

See attached partial bibliography.

Topical Outline and Assignments

June 13 The Context of Governance

Corson, pp. 1-141. Read and review these chapters which deal essentially with the "contexts" for governance. Consider how governance structure and process is "contingent" in a number of ways on external environmental forces.

The Components of Governance

Pfeffer, pp. 1-30. Identify and comprehend the relationships of the variables which Pfeffer sees as critical to the understanding of the governance process. Be able to state why these variables are considered crucial. Consider Pfeffer's assumptions about human nature, as well as the facts about academic organization which he cites.

June 16 Models of Governance

Helsabeck, 1-12, Sprunger & Bergquist, 49-62
Mason, 1-25.
Baldridge, 1-47. Contrast Helsbeck's and Baldridge's approach to understanding governance with that of Pfeffer. What variables does Baldridge feel are essential and what are their relationships? How does he defend his choices? On what assumptions is his model based?

June 20 Task - Interdependence and the Demands for Governance

Pfeffer, 31-68; 93-111. How in colleges and universities does the work itself call for logical and efficient decision-making structures. How can we determine whether

the governance form is appropriate to the task demands? Note how the concept of "professional" work complicates the problem.

Constituencies and Their Claims

Corson, 236-248.
Keeton, 194-210. Consider the claims on participation in decision-making of the following groups: trustees, administration, faculty, students, alumni, community, state, and federal agencies. What is the nature of their claims and what are their organizational rationales?

June 23 Power and Authority

Pfeffer, 69-92.
Childers, 25-45.
Lindquist & Blackburn, 367-378. Know how to collect information on the power structure in a college or university.

June 27 Structures of Governance

Pfeffer, 112-140.
Cohen & March, 81-91. Understand the functions or roles of the various operating mechanisms which make decisions. Know why certain decisions are allocated to different structures. Account for the competition among structures.

Unions and Governance

Baldridge, 154-174.
Baldridge & Kemerer, 252-271. How can the varying effects of unionization on different campuses be accounted for. Understand in what ways unions can improve or impede the efficiency of the governance process.

June 30 Change and Innovation

Pfeffer, 172-194.
Baldridge, 204-233. Understand the nature of the conflict between the dominant coalition and those less powerful. Consider the trends in power shifts in higher education and understand their causes. Make projections about the "shape" of governance structures in the future and defend your choices on theoretical grounds.

Case Analysis and Summary

Pfeffer, 195-245. Contrast weights of various influences on the governance process and analyze the case of a university. Summarize the strategies and tactics of governance.

Professor James L. Bess New York University

Partial Bibliography on Power, Authority and Governance in Higher Education

Marrow, Alfred J., David G. Bowers & Stanley E. Seashore, Management by Participation, New York, Harper & Row Publishers, Inc., 1967.

Baldridge, J. Victor, Power and Conflict in the University, New York, John Wiley & Sons, 1971.

Baldridge, J. Victor (ed.), Academic Governance, Berkeley, McCutchan Publishing Corp., 1971

Keeton, Morris, Shared Authority on Campus, Washington, D.C., American Association for Higher Education, 1971.

Mason, Henry L., College and University Government, New Orleans, Tulane Studies in Political Science, Volume XIV, 1972.

Helsabeck, Robert E., The Compound System, Berkeley, Calif., Center for Research and Development in Higher Education, University of California, 1973.

Cohen, Michael D. & James G. March, Leadership and Ambiguity, New York, McGraw Hill Book Company, 1974.

Epstein, Leon D., Governing the University, San Francisco, Jossey-Bass Publishers, 1974.

Clark, Burton R. & Ted I.K. Young, Academic Power in the United States, Washington, ERIC-Higher Education Research Report No. 3, 1976.

Riley, Gary L. & J. Victor Baldridge (eds.), Governing Academic Organizations, Berkeley, McCutchan Publishing Corp., 1977.

Van de Graaf, John et al., Academic Power, New York, Praeger, 1978.

Millett, John D., New Structures for Campus Power, San Francisco, Jossey-Bass Publishers, 1978.

Sprunger, Benjamin E. & William H. Bergquist, Handbook for College Administration, Washington, D.C., Council for the Advancement of Small Colleges, 1978.

Mortimer, Kenneth P. & T.R. McConnell, Sharing Authority Effectively, San Francisco, Jossey-Bass, Publishers, 1979.

Kauffman, Joseph F., At the Pleasure of the Board, Washington, D.C., American Council on Education, 1980.

Pfeffer, Jeffrey, Power in Organizations, Marshfield, Mass., Pitman Publishing Inc., 1981.

Brown, William R., Academic Politics, University, Alabama, University of Alabama Press, 1982.

Association of Governing Boards, The Good Steward, Washington, D.C., Association of Governing Boards, 1983.

Powers, David R. & Mary F. Powers, Making Participatory Management Work, San Francisco, Jossey-Bass Publishers, 1983.

Keller, George, Academic Strategy, Baltimore, Johns Hopkins Press, 1983.

Allen, Robert W., & Lyman W. Porter, Organizational Influence Processes, Glenview, Illinois, Scott, Foresman and Company, 1983.

UNIVERSITY OF WISCONSIN-MADISON
Department of Educational Administration

Semester I, 1984-85

Professor Joseph F. Kauffman

Thursdays -- 7:15 - 10:00 P.M.
Room -- 303, Ed. Sciences Bldg.
Office -- 1282G, Ed. Sciences Bldg.
Phone -- 263-3697

Ed. Admin. 715: Colleges and Universities:
Their Organization and Governance

This course will deal with the principles and practices in the administration of higher education; both public and private colleges and universities, their functions, types of administrative organization, governance; role of governing boards, administrators, faculty and students in decision-making; role of state and federal agencies also considered.

TEXT: ASHE Reader in Organization and Governance in Higher Education edited by Robert Birnbaum, Ginn Custom Publishing, Lexington, Mass.: 1983.

RECOMMENDED TEXT: The American College and University: A History by Frederick Rudolph, Random House Vintage, New York, N.Y.: 1962. (On Reserve) (Paperback)

September 6: (Class 1)
Introduction to course, distribution of materials, discussion of outline and expectations. Associations and professional literature in this field. Beginning of overview of American postsecondary education.

September 13: (Class 2)
Overview of American higher education, its evolution; types of institutions, their purposes, functions, and who attends them. Patterns of administrative organization in American colleges and universities.

Text:
1) "Evolution of University Organization," by Duryea, pp. 115-132.
2) "The Benefits of Disorder," by Clark, pp. 355-361.

Handout Materials:
1) "Taxonomy of Institutions of Higher Education in the United States," Education Director, 1975-76: Institutions of Higher Education.

September 20: (Class 3)
Organizational characteristics of colleges and universities. Governance as a concept and decision-making process in human enterprises. The nature of governance in higher education.

Text:

1) "Alternative Models of Governance in Higher Education," by Baldridge et al, pp. 9-25.

2) "Administrative and Professional Authority, : by Etzioni, pp. 26-33.

3) "Governance of Higher Education: Six Priority Problems," by the Carnegie Commission on Higher Education, Parts 1, 2, 3, pp. 148-158.

Handout Materials:

1) "Statement of Government of College and Universities,"AAUP Bulletin, Winter, 1966.

September 27: (Class 4)

Decision-Making: Internal. Governing boards (single campus and state systems); Administration, Faculty and Students (we will devote an entire week or more to each of these following an overview of external forces in decision-making).

Text:

1) "Governance of Higher Education: Six Priority Problems," by the Carnegie Commission on Higher Education, Part 5, pp. 169-175.

2) "Control of the Campus, " by the Carnegie Foundation for the Advancement of Teaching, pp. 195-199.

3) "Effective Trusteeship: Guidelines for Board Members," by Zwingle, pp. 211-226.

Handout Materials:

1) Chapter 36 of the Wisconsin Statutes, University of Wisconsin System.

October 4: (Class 5)

Decision-Making: External Forces. State Boards of Higher Education; state government-executive branch; legislature; coordinating agencies; state systems.

Text:

1) "Governance of Higher Education: Six Priority Problems," by the Carnegie Commission on Higher Education, Part 4, pp. 158-169.

2) "Four Issues in Contemporary Campus Governance," by Mason et al, Part 4, pp. 185-187.

3) "Control of the Campus," by the Carnegie Foundation for the Advancement of Teaching, pp. 202-203.

4) "Challenge: Coordination and Governance in the '80s," by the Education Commission of the States, pp. 310-354.

October 11: (Class 6)

State Government, con't.

October 18: (Class 7)

Decision-Making: External Forces (con't.) Federal Government: research grants, categorical aid, student aid, laws and executive orders.

Text:

1) "Control of the Campus," by the Carnegie Foundation for the Advancement of Teaching," pp. 203-206.

Handout Materials:

1) "Federal Administrative Requirements for Colleges and Universities," NACUBO Officer, August 1978.

2) "Toward a New Consensus," by Chester E. Finn, Jr., Change, September 1981.

3) In the National Interest, Higher Education and the Federal Government: The Essential Partnership by The National Association of State Universities and Land-Grant Colleges, 1983-84.

4) "A Historical Perspective: The Federal Role in Funding Education," by Christian K. Arnold, Change, September 1982.

October 25: (Class 8)

Decision-Making: External Forces (con't.)

Text:

1) "Control of the Campus," by the Carnegie Foundation for the Advancement of Teaching, pp. 199-203.

Handout Materials:

1) "Two Cheers for Accreditation," by George Arnstein, Phi Delta Kappan, January 1979.

2) "Criteria and Procedure for Recognition of Nationally Recognized Accrediting Agencies and Associations," Federal Register, August 20, 1974.

3) "Proliferation and Agency Effectiveness in Accreditation: An Institutional Bill of Rights," by H.R. Kells, Current Issues in Higher Education, 1980, No. 2, American Association for Higher Education.

November 1: (Class 9)

The financing of higher education in the U.S., concepts of accountability, demographic trends and related topics.

Text:

1) "Measuring Organizational Effectiveness in Institutions of Higher Education," by Cameron, pp. 83-112.

2) "Where Numbers Fail," by Bowen, pp. 362-368.

3) "University Budgets and Organizational Decision-Making," by Hills and Mahoney, pp. 369-380.

4) "Demographic and Related Issues for Higher Education in the 1980s," by Glenny, pp. 381-395.

5) "The Management of Decline," by Boulding, pp. 396-398.

November 8: (Class 10)

Decision-Making: The college and university presidency; other administrative officers.

Text:

1) "Control of the Campus," by the Carnegie Foundation for the Advancement of Teaching, pp. 208-210.

2) "Trustee-President Authority Relations," by Cleary, pp. 227-236.

3) "The College Presidency--Yesterday and Today," by Kauffman, pp. 237-245.

4) "Leadership in an Organized Anarchy," by Cohen and March, pp. 246-274.

Handout Materials:

1) "The New College President: Expectations and Realities," by Joseph F. Kauffman, Educational Record, Spring, 1977.

2) "Presidential Assessment and Development," by Joseph F. Kauffman, New Directions For Higher Education, 1978.

3) "Leaders in Transition: A National Study of Higher Education Administrators," Penn State, American Council on Education, 1982.

November 15: (Class 11)

Decision-Making: The Faculty. Academic Departments. Concepts of Tenure and Academic Freedom. Forms of faculty self-governance. Concept of "shared authority." The Department and its role in governance.

Text:

1) "The Bases and Use of Power in Organizational Decision-Making: The Case of a University," by Salancik and Pfeffer, pp. 34-54.

2) "Four Issues in Contemporary Campus Governance," by Mason et al, pp. 176-182.

3) "1982 Recommended Institutional Regulations on Academic Freedom and Tenure," American Association of University Professors, pp. 289-295.

Handout Materials:

1) "Tenure, A Conscientious Objection," by James O'Toole, Change, June/July, 1978.

2) "Tenure, A Conscientious Objection: Counteressay," by William W. Van Alsteyne, Change, October 1978.

3) "Academic Freedom, Tenure, and Incompetence," by Allan Tucker and Robert B. Mautz, Educational Record, Spring 1982.

4) "Beyond Traditional Tenure: Extended Probationary Periods and Suspension of 'Up or Out' Rule," by Richard Chait and Andrew T. Ford, Change, July/August 1982.

November 22:

No Class -- Thanksgiving Recess

November 29: (Class 12)

Faculty Collective Bargaining and Its Role in Governance.

Text:

1) "Processes of Academic Governance," by Mortimer and McConnell, pp. 133-147.

2) "Four Issues in Contemporary Campus Governance," by Mason et al, pp. 182-185.

3) "Control of the Campus," by the Carnegie Foundation for the Advancement of Teaching, pp. 190-195.

4) "Senates and Unions: Unexpected Peaceful Coexistence," by Kemerer and Baldridge, pp. 296-302.

(Class 12 con't)

Handout Materials:

1) "Faculty Unionism: The First Ten Years," by Joseph W. Garbarino, excerpted from The Annals of the American Academy of Political and Social Science, March 1980.

2) "Impact of Bargaining on Campus Management," excerpted from Policy Making and Effective Leadership by J. Victor Baldridge et al. San Francisco: Jossey-Bass, 1978.

December 6: (Class 13)

Faculty, con't. New Relationship of faculty to Business and Industry. Use of part-time/adjunct faculty. Role of academic staff.

Text:

1) "Control of the Campus," by the Carnegie Foundation for the Advancement of Teaching, pp. 206-208.

Handout Materials:

1) "Balancing Responsibility and Innovation," by Derek Bok, Change, September 1982.

2) "The Legal Ins and Outs of University-Industry Collaboration," by David S. Tatel and R. Claire Guthrie, Educational Record, Spring 1983.

December 13: (Class 14)

Decision-Making: Students. Student participation in governance; student self-governance; issues of student involvement in decision-making; "primal" authority concept; student services and auxiliary enterprises -- Who Decides? Who Governs?

Text:

1) "For and Against Student Participation," by McGrath, pp.303-316.

Handout Materials:

1) "Student Consumerism in an Era of Conservative Politics," by J. Roger Penn and Robert G. Franks, NASPA Journal, Winter 1982.

2) "Assessing the Quality of Student Services, by Joseph F.Kauffman, New Directions for Student Services, forthcoming.

December 20: (Class 15)

Final Exam

Expectations and Basis of Evaluation:

1) Class attendance and participation.

2) Readings--assigned and readings on topics under consideration each week.

3) Term paper or project on a significant organizational, administrative, or governance issue in higher education. (Further clarification of this expectation will be discussed in class.) Proposed topic, and outline of paper or project, is to be submitted to instructor by October 11. Term paper on project will be due on December 13.

4) Final examination will be given on December 20.

Center for the Study of Higher Education
The University of Michigan

G-807 State Government-Higher Education Relationships

Winter Term, 1985

Professor James L. Miller, Jr. (Jerry)
2007 School of Education Building
Phone: office - 764-9472; home - 971-4669

Course Objectives:

Relationships with state government constitute an important consideration for institutional administrators in public institutions and, to a lesser degree, in private ones. Financial relationships are the most obvious and in many ways the most important, but they are not the only types of relations. Among the others of importance are those which concern decisions about programs and activities -- what will be done, how, and by whom. There are numerous other relationships as well. The seminar will attempt to deal with the total interactive network of institutional actors and state government actors which make up the total set of relationships. It also will deal with ways in which these change over time.

State higher education agencies have come to play a major role in many states. Attention will be given to types and roles of state agencies and ways in which they interact with other parts of state government such as the legislature and executive offices. Consideration also will be given to the differences among these agencies from state to state and to factors which are associated with these differences.

Relationships with the Federal government (direct institution-Federal relations and relations with the state as middlman) and relations with communities in which institutions are located also are important and will be given some attention in the seminar.

Examinations

There will not be mid-term or final examinations.

Class Reports

From time to time students will be asked individually or in groups to develop and present reports to the seminar on outside readings.

Grading

Grading will be Satisfactory or Unsatisfactory based upon participation in class sessions and term activities.

Reading

The literature on the topic is extensive. A text and other suggested readings are discussed later in this syllabus and a large number of additional readings will be suggested or discussed during the term. These have not been placed on reserve in order that they be more freely available for people to use flexibly. That system will work only if there is a sensitivity to the needs of the others in the seminar and a sharing of library copies from the University of Michigan libraries and from those of other institutions to which students have access. In some cases books will be on reserve for other courses and that information, when discovered, should be made known to the rest of the seminar group.

Format of the seminar

Class sessions will consist of lecture, discussion, visiting guest speakers, and some class projects and reports.

Class trips will be made to three state capitols for the purpose of meeting with individuals involved in these relationships: state agency personnel, representatives of the executive and legislative branches of government, institutional representatives, representatives of public and private higher educational associations and other involved or informed individuals. The goal is to gain first hand information about the activities which occur, the ways in which they are carried on, and the ways in which they are perceived. Trips will be arranged so as to avoid prior conflicts with long standing commitments which students are aware of at the beginning of the term insofar as this is possible. It is important that all students take part in all travel; unusual circumstances which preclude it should be discussed with Professor Miller.

The three state capitols to be visited in Winter, 1985, are planned to be Lansing, Columbus, Ohio and Springfield, Illinois. The Lansing trip will be one day: all day on a Friday. The Columbus trip will be two days: a Thursday and Friday. The Springfield trip will be three days: Wednesday morning departure and Friday night return with the time in Springfield consisting of Wednesday night among ourselves, Thursday day and evening and Friday morning, noon and possibly early afternoon visiting officials, with return Friday afternoon and evening.

Costs of travel are born by students, with the usual arrangements being that car pools are arranged and gas is paid for by those other than the person providing the car. Budget motels are used to keep down expenses; people are scheduled in double rooms unless individuals prefer singles or triples. When the sex ratio leaves someone without a room-mate a small Teddy Bear who has travelled with successive groups for a number of years stays with the odd person.

The "mix" of people in cars is intentionally changed on each trip insofar as possible so that everyone winds up exchanging ideas with everyone else. After the first trip it frequently happens that groups have gotten along so well that they want to

stay together; experience has shown that the mixing causes people to find that the travelling partners on later trips are as informative and as much fun as those on early ones.

Text

Graham T. Allison, Essence of Decision: Explaining the Cuban Missle Crisis. Boston: Little, Brown and Company.

This text is used because it presents 3 alternative conceptual models of governmental behavior, each of which is shown to have advantages and disadvantages. The development of these conceptual models are described in the book. The specific set of governmental decision upon which they were tested happened to be the decision-making in the U.S. Federal government concerning the Cuban missile crisis. The conceptual models are constantly cited in the literature about public policy-making, but there have been remarkably few replications of the application Allison made to an actual series of decisions. Such an application to a series of higher education decisions would add much to the literature of both higher education and public policy.

Note that the organization of the book separates the chapters describing the conceptual models from the applications of each of the models to the Cuban missile crisis. Either set of chapters could be read separately from the other, although one would miss a lot by making that choice.

Highly recommended additional reading:

The literature is extensive and students are urged to read widely. The specific works listed here should be read by everyone fairly early in the term for the reasons indicated.

Aaron Wildavsky, The Politics of the Budgetary Process. This is the classic work on the way in which governmental budgetary decisions are made by multiple actors (individuals, agencies and institutions) interacting with one another within a larger environment which conditions the behaviors and the outcomes. Like the Allison work, it does not deal with higher education and it does deal with the Federal government rather than state government. The parallels are so apparent, however, that it almost is the case that one could take a pencil and systematically substitute the names of state agencies and institutions within the text and have a close approximation of what occurs with the exception that the fifty states are each different in ways which sometimes is idiosyncratic and more often permits states to be grouped into categories (e.g., strong governor states vs strong legislature states; highly bureaucratized states vs those that are less so; highly "politicized" states vs those where government is run more "professionally," states which provide high levels of service to citizens with associated higher tax levels vs those that have traditions of less low cost public service and lower taxes, etc.).

John D. Millett, The Politics of Higher Education. It is possible that Dr. Millett will present a higher education Colloquium during the Winter term, 1985. He is a distinquished Political Scientist who describes in this book his experiences as President of Miami University (of Ohio) and then Chancellor of the Ohio Regents for Higher Education (the statewide higher education coordinating agency). In this short book he combines autobiography and a participant-observer report on these two highly political positions. He also is the author of the 1984 book Conflict in Higher Education: State Government Coordination versus Institutional Independence which obviously pertains to this seminar. The Politics of Higher Education is recommended specifically because of its frank autobiographical treatment of issues in governmental policy making for higher education.

The three classics: Moos and Rourke, Glenny, and Berdahl. The larger literature on state relations and state coordination constantly refers back to three classic works, each of which was in its own way a landmark volume that has become a classic. Although they now are dated, each has a freshness about it which makes a reader aware of why it has become a "classic" and what it will take for additional works to join their ranks.

Malcolm Moos and E. Francis Rourke. The Campus and the State. Baltimore: Johns Hopkins Press, 1959 (sic). This is the broadest of the three in its treatment of state government. In general it served as an expose of the difficulties which public colleges and universities were having with state government interference in their affairs. The anecdotal horror stories are worth the read; no one since has taken as broad or as critical a look at the operations of state government in relation to higher education (the closest might be the Carnegie Council's The States and Higher Education: A Proud Past and a Vital Future). Moos and Rourke based their report on field studies done in selected states, as also was true the work of Glenny and Berdahl.

Lyman A. Glenny, Autonomy of Public Colleges: The Challenge of Coordination. New York: McGraw-Hill, 1959 (sic). The original modern study of the organizational structure and functioning of various types of state higher education agencies (somewhat similar studies were done in the 1930's). Glenny made people aware of the need for state level planning and coordination of higher education and supplied the information about how it was done and might be done which fueled the public debates during the 1960's as a growing number of states enacted legislation establishing various forms of state higher education agencies. Glenny himself, a professor of Political Science at Sacremento State College, became Executive Director of the Illinois Board of Higher Education and was responsible for making it one of the most active and visible higher education agencies

in the nation. Glenny subsequently became a Professor of Higher Education at the University of California, Berkeley, where he has continued to write extensively about state government-higher education relations and to consult.
Robert O. Berdahl. Statewide Coordination of Higher Education. Washington: American Council on Education, 1971 (sic). Berdahl, a professor of Political Science at San Francisco State College, developed in his study the classification of statewide coordinating agencies which has been used (with minor modifications) since, categorizing them into (1) voluntary, (2) coordinating only (sub-divided between those with advisory powers only and those with regulatory powers), and (3) statewide governing boards. This framework has served as the framework for elaborately detailed reporting on the legal authority of statewide agencies (which change from time to time in various states); modifications of it have been used in most descriptive studies of statewide higher education agencies. In recent years the literature of higher education has been criticized for focusing so completely upon this organizational model that it was giving too little attention to "political" and "inter-organizational" perspectives (Berdahl himself always pointed out the importance of political reality). Berdahl subsequently became a Professor of Higher Education at SUNY Buffalo and more recently at the University of Maryland.

"The Cookbook." In 1971, Glenny and Berdahl together with Ernest G. Palola and James G. Paltridge authored a brief, descriptive and prescriptive "how-to-do-it" explanation of statewide coordination titled Coordinating Higher Education for the '70's: Multi-campus and Statewide Guidelines for Practice which was apologetically referred to as "the cookbook." It provides possibly the most straightforward, easy to read, description available of the "party line" which is accepted by most advocates of statewide higher education coordination. It was published by the Center for Research and Development in Higher Education, University of California, Berkeley.

Ira Sharkansky. The Routines of Politics. New York: Van Nostrand Reinhold Company, 1970. A simple but not simplistic presentation of the ways in which much of the work of governmental policy decision-making has been routinized in ways which facilitate getting decisions made but often bewilder the uninitiated. Reading this is an easy way to get initiated. For almost any reader, some of it's contents falls in the category of "I knew that" and some in the category of "what do you know?"

Multi-campus institutions. A growing number of institutions followed the pattern established by the University of California (9 campuses) and the California State Universities and Colleges System (19 campus) in establishing arrangements under which a group of campuses which might be

separate institutions in another state were campuses of a single system with a single central administration that exercised varying degrees of control over individual campuses depending upon the particular system. The two standard works on this type of arrangement are by E. C. Lee and F. M. Bowen: The Multicampus University: A Study in Academic Governance. New York: McGraw-Hill, 1971; and Managing Multicampus Systems: Effective Administration in an Unsteady State. San Francisco: Jossey-Bass, 1975. These studies were sponsored by the Carnegie Commission and the Carnegie Council, respectively. There also are several edited volumes which describe the operation of particular multicampus systems as of the time the book was written -- one on Wisconsin, one on California State Universities and College, etc.

Politics of higher education. An awareness of the importance of politics in public policy decision-making as it affects higher education has emerged in recent years. The best, easily available treatment of the topic is Edward R. Hines and Lief S. Harkmark, Politics of Higher Education. AAHE-ERIC series 1980, No. 7.

EDUCATION 401 - Higher Education and the Federal Government

Spring Quarter 1985

Wednesday 2:00 - 3:50 p.m.

John T. Wilson

Univ. of Chicago
(312) 962-8512

I

EDUCATION 401 IS A GRADUATE SEMINAR. I will be responsible for furnishing reading and reference material in various forms, which will serve as a basis for discussion. You will be responsible for the reading, for a share of the discussion, and for a paper on a relevant topic of your choice. You will give an oral presentation of your paper in progress, prior to submitting it in written form. I will be glad to review a draft of the paper as you prepare it.

II

The readings are divided into three segments, the first of which is intended to introduce you to the nature of relationships between the federal government and higher education. Assuming that you can survive some degree of "overload" in the interest of getting a "feel" for these relationships, the readings start out with a survey of the immediate setting, summarizing the developments that have occurred since World War II between the federal government and higher education. Included are statements reflecting a range of attitudes regarding the role of the federal government in the affairs of higher education. Having been introduced to the current set of relationships (to which we will be returning throughout the course), the readings then turn to an examination of what might be thought of as a theoretical basis for a relationship between the federal government and higher education. In this examination we will discuss the concepts that define the "higher education policy arena," review some of the more significant historical events in the evolution of current relationships, and suggest a system of categories that form a matrix which can be helpful in analyzing the essential characteristics of policies, programs, legislation, regulations, and other modes of interactions between the federal government and higher education.

III

The second segment of the readings and references covers an introduction to the organization and functions of the federal government that relate specifically to higher education. Within the Executive Branch we will examine the various roles of the President and the ways in which he can bring his influence to bear upon matters affecting higher

education, both personally and through different parts of the Executive Office, especially the Science Advisor and the Office of Management and Budget. We will examine the functions and organization of the numerous executive branch agencies that have been and continue to be responsible for programs of interest to institutions of higher learning, with special emphasis on the significant role that the academic science programs played in the post-World War II period as precursors of support to higher education per se. We will review in some detail the rise and proposed demise of the Department of Education.

Regarding the Legislative Branch, we will examine the more significant aspects of the legislative process as these relate to both substantive legislation and appropriation actions. Of special interest is the ebb and flow that has taken place during the last decade in the balance of influence regarding education programs between the Executive to the Legislative Branch.

IV

The third segment of the readings pertains to the higher education enterprise itself. Our interest in this segment is to develop an understanding of the "higher education system" as it has evolved in the United States. Special attention will be given to the conflicting aims and motivations within the "system." The special problems of the "research" universities will be covered. Finally, we shall consider some of the options that are available for the future in the relationships between the federal government and higher education and examine some of the reasons that a more rational relationship did not develop, despite the opportunities during the immediate post-war years.

V

The readings are categorized as "essential" and "additional background readings." You will find them a mixture of very easy material and some that is less so. Some will be interesting and some will bore you. Organization manuals, for example, are dull and are not meant to be read, anymore than you would read the telephone directory. They are included so that you will be aware of their existence and know what you may find in them. Presidential messages of one sort and another should be of interest. For example, you will find among those that we have considered relevant to our topic a classic veto message by Mr. Truman and a classic memorandum to executive department heads from Mr. Johnson. Hopefully, the readings which we have categorized as "essential", will give you a reasonable insight into the ways in which policy and program developments are initiated and shaped (and sometimes frustrated) within the boundaries of our political and educational "systems".

SEGMENT I

Federal government policies and programs in support of higher education; the concept of the "higher education policy arena"; some historical reference points; the important "categories of action."

ESSENTIAL READINGS

The Immediate Setting

The first group of readings describes post-World War II relationships between the federal government and higher education in the United States. As you will discover, these relationships are complex and currently stressed. As we go along, we will try to sort out the various relationships in an attempt to see how we got from there to here.

Wilson, J.T. Academic Science, Higher Education and the Federal Government, 1950-1983. Chicago: University of Chicago Press, 1983.

Finn, C. Scholars, Dollars and Bureaucrats. Washington, D.C.: Brookings Institute, 1979.

Finn, C. "Toward a New Consensus." Change, September 1981, pp. 17-63.

Letters - Reaction: "Toward a New Consensus." Change, Nov/Dec 1981, pp. 6-9.

"The Entangling Web" and various other reflections on the relationships between the Federal Government and higher education.

A Basis for a "Theory"

The second set of readings in the first segment is intended to furnish you with a basis for developing your thoughts as to what might constitute a reasonable and rational relationship between government and higher education, especially in our particular form of government and our "system" of higher education.

Chapter 3 - Report of U.S. Commission on Intergovernmental Relations (Knestnbaum Report). Washington, D.C., 1955.

Colman, Wm. "Issues in a New Federalism." National Civic Review, March 1982.

The Federal Role in the Federal System: The Dynamics of Growth. The Evolution of a Problematic Relationship: The Feds and Higher Education. Advisory Committee on Intergovernmental Relationships, Washington, D.C., May 1981.

Huxoll, Cynthia A. "Listen to the People." The Graduate Journal, University of Texas, V, 1962 Supplement.

Howard, John A. "Principles in Default." Speech at American Association of Presidents, Independent Colleges and Universities, December 6, 1974. (Rockford College, Rockford, Illinois 61101).

Freeman, R.A. "Facts, Figures, and a Primrose Path." The Graduate Journal, University of Texas, Vol. V, 1962 Supplement.

Wolanin, T. and Gladieux, L. "The Political Culture of a Policy Arena: Higher Education." In Holden, M. Jr. and Dresang, D.L. (eds.) What Government Does, New York: Sage, 1975.

The Role of the Academic Science Programs

The third and last set of readings in the first segment of the seminar will introduce you to the very important role that the academic science support programs have played in shaping the post-World War II developments in government-higher education relations. Most educationists and most political scientists, for one reason and another, give less attention to this aspect of the relationship in their writings than it deserves. Although the academic science support programs involve a limited number of institutions, the extraordinary influence of these institutions on both the country and on higher education, makes these programs a critical part of current problems. The Kevles article is most important, both for itself and to illustrate how history has come full circle in forty years to repeat itself.

England, J.M. "Dr. Bush Writes a Report: Science the Endless Frontier." Science, 9 January 1976.

Kevles, Daniel J. "The National Science Foundation and the Debate over Postwar Research Policy, 1942-1945." ISIS, 1977, 68, No. 241.

Press, F. "Science and Technology in the White House, 1977 to 1970." (Parts 1 and 2). Science, 9 January 1981, pp. 139-145; 16 January 1981, pp. 249-256.

Keyworth, G.A. "Four Years of Reagan Science Policy: Notable Shifts in Priorities." Science, 6 April 1984, pp. 9-13.

ADDITIONAL BACKGROUND READINGS

The list of additional background readings contains a number of accounts of significant post-World War II developments between the federal government and higher education. The "GI Bill" reference describes a landmark event for higher education, although this was not its intent. There are several accounts of the science programs, including special developments in biomedical and nuclear sciences. For general purposes of information in the area covered by the course, the Ashworth and Wolfle books are probably the most useful and both are very readable.

Ashworth, K.H. Scholars and Statesmen. San Francisco: Jossey-Bass, 1972.

Babbidge, H.D. and Rosenzweig, R.M. The Federal Interest in Higher Education. New York: McGraw-Hill, 1962 (Now Greenwood Press, Westport, Conn., 1975).

Breneman, D.W. and Finn, C. Public Policy and Private Higher Education. Washington, D.C.: Brookings Institute, 1978.

Bush, V. Science, the endless frontier. Washington, D.C.: Government Printing Office, 1945.

Dupree, A.H. Science in the Federal Government. Cambridge: Harvard University Press, 1957.

Lyons, G.M. The Uneasy Partnership. New York: Sage, 1969.

Olson, K.W. The G.I. Bill, the Veterans and the Colleges. University of Kentucky Press, 1975.

Price, Don K. Government and Science. New York: New York University Press, 1954.

Reagan, M.D. Science and the Federal Patron. New York: Oxford University Press, 1969.

Shannon, J. (ed.) Science and the Evolution of Public Policy. New York: Rockefeller University Press, 1973.

Shils, E. "Government and Universities in the United States." MINERVA, Vol. XVII, No. 1, Spring 1979, pp. 129-177.

Smith, Alice K. A Peril and a Hope. University of Chicago Press, 1965.

Steward, I. Organizing Scientific Research for War. Boston: Little Brown, 1948.

Strickland, S.P. Politics, Science and Dread Disease. Cambridge: Harvard University Press, 1972.

Wolfle, D. The Home of Science: the role of the University. New York: McGraw-Hill, 1972.

SEGMENT II

Federal Government Organization and Functions Relative to Higher Education Policies and Programs
General Structure
The Executive Branch
- The executive office
- The roles of the President
- The Office of Management and Budget and the role of the President's Budget
- Executive Branch agencies

The Legislative Branch
- Supporting offices
- The pertinent committees

The Judiciary and the Law and Higher Education

ESSENTIAL READINGS

The readings in the second segment of the course are much less substantive in character than those in the first. They deal largely with a description of the organization of the Executive, Legislative and Judiciary branches of our federal government and the procedures under which they function. In addition to the listed references, we will hand out in class several organization charts to serve as guides regarding relationships between various sub-units of the major agencies. While charts and manuals are, at best, rough approximations as to how things really are, they are helpful first steps on the road to discovering one's way within the maze of government organizations, procedures, etc.

Handy References

The United States Government Manual. Washington, D.C.: GSA.

A Compilation of Federal Education Laws (as amended through June 30, 1977), Washington, D.C.: Government Printing Office, 1977.

Guide to Current American Government. Congressional Quarterly Inc. Washington, D.C.

The President and the Executive Branch

For various reasons ranging from his personal interests, the times, or the press of problems that carry a higher priority for his time and attention, Presidents have differed significantly with reference to the initiation of policies and programs affecting higher education. We shall attempt in class presentations to illustrate this point by reviewing a sample of Presidential messages, including special messages dealing specifically with education and science. In the readings, the Finn book covers in detail how one President and his staff functioned in generating

education policies and legislation. The Sproull et al book is a first-hand account of the struggle to get a new executive agency off the ground. The debate regarding the Department of Education is covered in Miles. Lastly, the U.S. budget reference illustrates how the matrix of federal policies and programs is pulled together by the President and the Executive Office in the form of the President's annual budget message and the budget itself.

Finn, C. Education and the Presidency. New York: Heath, 1977.

Sproull, L., Weiner, D., and Wold, D. Organizing an Anarchy. Chicago: University of Chicago Press, 1978.

Miles, R. A Cabinet Department of Education. Washington, D.C.: American Council on Education, 1976.

The United States Budget in Brief, FY 1986. Washington, D.C.: Government Printing Office, 1985.

The Congress

Subsequent to the Higher Education Act of 1972, events have led to a very greatly increased influence of the Congress in the affairs of higher education. Concomitantly, this has also been a period during which the Congress, for a variety of reasons, has taken steps to reorganize itself and to make arrangements, especially in the form of the Congressional Budget Office, through which it can, on a more equitable basis, deal with the Executive Branch. From the readings you will learn how the "agenda" for a particular session of Congress shapes up, how substantive hearings are conducted and the role they play in affecting policies and programs, and how the appropriation (budget) process works in Congress. The Budget Issue paper illustrates how staff support functions as Congressional Committees wrestle with legislation to support higher education.

"A Higher Education Agenda for the 99th Congress." Washington, D.C., ACE, 1985.

Rivlin, Alice M. "Congress and the Economy." Bulletin of the American Academy of Arts and Sciences, February 1981, XXXIV, No. 5.

Gladieux, L.E. and Wolanin, T.R. Congress and the Colleges: the national politics of higher education. New York: Heath, 1976.

Budget Issue Paper on Federal Student Assistance: Issues and Options. Congressional Budget Office, Congress of the United States, FY 1981.

An Analysis of the President's Budgetary Proposals for FY 1983. Congressional Budget Office, February 1982.

A Report to the Senate and House Committees on the Budget Parts I, II, III. Congressional Budget Office, February 1982.

The Law and Higher Education

The readings touch very briefly on the Judicial branch and the growing impact of the law on higher edcucation. The Kaplin reference is the best general book that is available on the subject and the indicated chapters deal specifically with areas of interest to us. We will have a special report on "affirmative action."

Kaplin, Wm. A. The Law and Higher Education. (Chapters 1 and VII). San Francisco: Jossey-Bass, 1978.

Making Affirmative Action Work in Higher Education. San Francisco: Jossey-Bass, 1975.

ADDITIONAL BACKGROUND READINGS

As in the case of the first segment of the course, the additional background readings cover a limited number of selections over a wide range of material. If you know little or nothing about the federal government (although I find this hard to imagine at your stage of study) the Rienow and the Woll books are very good. For the influence of the Congress in the development of the "land-grant" institutions (a very important American invention in higher education) the Rainsford book is excellent. Several pieces deal with equal opportunity/affirmative action policies. The Hook, Kurtz and Todorovich book will give you the full range of attitudes towards these and other regulatory issues.

Rainsford, G.N. Congress and Higher Education in the Nineteenth Century. Knoxville: University of Tennessee Press, 1972.

Making Affirmative Action Work in Higher Education. (Carnegie Council on Policy Studies in Higher Education). Dan Francisco: Jossey-Bass, 1975.

Glazer, N. "Regulating Business and the Universities: one problem or two?" The Public Interest, No. 54, Summer 1979, pp. 43-65.

Hook, S., Kurtz, P. and Todorovich, M. The University and the State. Buffalo: Prometheus, 1978.

Van Alstyne, C. The cost of implementing federally mandated social programs at colleges and universities. Washington, D.C.: ACE, 1976.

Hartman, R.W. "Federal Options for Student Aid." Public Policy and Private Higher Education (Chapter 5). Washington, D.C.: Brookings, 1978.

Rienow, R. Introduction to Government. New York: Knopf, 1966.

Woll, P. American Government: Readings and Cases. Boston: Little, Brown, 1975.

Burger, E.J. Science At The White House. Baltimore: Johns Hopkins, 1980.

SEGMENT III

The Higher Education Enterprise: variation in purposes; confusion of voices;
The academic budget and sources for its support;
The current scene and the future.

ESSENTIAL READINGS

In the third and final segment of the course the readings cover various parameters of the higher education enterprise in the United States, with a view to examining the "impedence match" between federal government policies and higher education. The essential readings are intended to give you an insight into the way colleges and universities have evolved in the United States, particularly since World War II; the great variety of institutions that compromise the "system"; the nature of "governance" in institutions of higher learning; the resources that sustain colleges and universities; "influencers", especially those who presumably look after the interests of higher education in Washington; and, some special problems that confront the research universities. We have included readings that examine the issue of the university and "social change" as well as some that review problems that confront the colleges and universities in the coming decade.

General

Ben-David, J. Trends in American Higher Education. Chicago: University of Chicago Press, 1972.

"A Classification of Institutions of Higher Education." A Technical Report of the Carnegie Commission on Higher Education, 1978, (revised).

Ashworth, K.H. American Higher Education in Decline. College Station: Texas A & M Press, 1979.

Cowley, W. H. Presidents, Professors and Trustees. San Francisco: Jossey-Bass, 1980.

Pusey, Nathan. American Higher Education - 1945 to 1970. Cambridge: Harvard University Press, 1979.

Wegener, C. Liberal Education and the Modern University. Chicago: University of Chicago Press, 1978.

Hofstader, R. and Smith, W. American Higher Education - a documentary history. Chicago: University of Chicago Press, 1961.

Cohen, S. (ed.) Education in the United States: A Documentary History. Vols. 1-5. New York: Random House, 1974.

Halstead, D.K. (ed.) Higher Education: A Bibliographic Handbook. Washington, D.C.: National Institute of Education, May 1981, Vols. I and II.

Riesman, D. On Higher Education. San Francisco: Jossey-Bass, 1980.

Resources

"Harvard and Money." A memorandum on issues and choices. Cambridge, Massachusetts, 1970.

Cheit, E.F. The New Depression in Higher Education. New York: McGraw-Hill, 1971.

Cheit, E.F. The New Depression in Higher Education - Two Years Later. Technical Report, Carnegie Commission on Higher Education, 1973.

University of Chicago CHRONICLE, November 1, 1969. "The University and Its Budget."

The Governance Issue

Finberg, B.D. "The College and University President at Work." The Graduate Journal. Winter 1963, pp. 253-271.

"Report of the Committee on Instruction and Research to the Board of Trustees in Relation to Proposed Administrative Changes." 28 December 1944.

Special Problems

"The Academic Medical Center: a stressed American Institution." David E. Rogers and Robler J. Blenden. The New England Journal of Medicine. 27 April 1978, pp. 940-950.

Turner, T.B. "The World of Values: Reflections on the History of the Johns Hopkins Medical Institutions." The Johns Hopkins Medical Journal, 1975 Vol. 136, pp. 226-230.

The Research Universities and Their Patrons. Association of American Universities, 1982.

Calkins, R.D. "The National University." Science, 13 May 1966. Vol. 152, pp. 884-889.

The University as an agency for social change. 61st annual meeting of the American Council on Education. Washington, D.C., October 12, 1978.

"Community Colleges in the 1980s." Connolly, J.J., Educational Record, Fall 1981, pp. 35-40.

"Can Black Colleges Survive?" Kleinman, D. New York Times Magazine.

"Our Fading State Colleges." Weathersby, G.B., Change, Jan/Feb 1984.

Influencers

Bailey, S.K. Education Interest Groups in the Nation's Capital. Washington, D.C.: American Council on Education, 1975.

The Future

The Purposes and the Performance of Higher Education in the United States: approaching the year 2000. A report and recommendations by the Carnegie Commission on Higher Education, New York: McGraw-Hill, 1973.

A Program for Renewed Partnership. The report of the Sloan Commission on Government and Higher Education. Cambridge: Ballenger, 1980.

The Federal Role in Postsecondary Education: Unfinished Business 1975-1985. Carnegie Council on Policy Studies in Higher Education: Jossey-Bass, 1975.

Academic Adaptations: Higher Education Purposes for the 1980s and 1990s. A report for the Carnegie Council on Policy Studies in Higher Education (Verne A. Stadtman). Jossey-Bass, 1980.

Three Thousand Futures: the next twenty years for higher education. Final report of the Carnegie Council on Policy Studies in Higher Education.

DAEDALUS, Fall 1974, Vol. i. "American Higher Education toward an uncertain future."

The Wilson Quarterly. Autumn 1978, Washington, D.C.: The Woodrow Wilson International Center for Scholars, pp. 59-94.

Science and Technology: A Five Year Outlook. Washington, D.C.: NAS, 1979.

ADDITIONAL BACKGROUND READINGS: COMMENT

For individuals who are seriously interested in the history of higher education in the United States, there are many excellent sources. We have not listed additional readings but have indicated above a selection which will give you a range of views to which you may add your own. The Hofstader and Smith two-volume documentary history is perhaps the best single source and is available in paperback in the bookstore. If you were to buy one book on the history of higher education in this country, this is the book to have. Mr. Pusey has written an interesting, albeit somewhat Harvard-biased, account of events that helped to shape higher education during the post-World War II years, including the years of the "difficulties." If you are interested particularly in the issue of liberal education in higher education, Mr. Wegener's book is highly recommended. The Cowley book is an historical account of higher education from its beginnings, reflecting the somewhat maverick, though nonetheless scholarly, views of a distinguished teacher. The Ashworth book suggests that higher education has really gone to hell and, after reading the Carnegie Commission reports, one is rather inclined to agree with him. On the other hand, the fact that you are here at the University of Chicago working hard toward a graduate degree is sufficient proof that the world, including the world of higher education, has a future which can't be all bad.

ASHE ERIC

Clearinghouse for Course Syllabi in Higher Education

A group of Association for the Study of Higher Education (ASHE) members are forming a national higher education network for course syllabli. (See box.) The activity, sponsored by ASHE's Committee on Curriculum, Instruction and Learning, promises to be of great benefit to new and experienced teachers in higher education.

If you wish to participate, please send your latest course syllabi to the appropriate members of the network today. These individuals have committed their time and effort toward the following:

- syntheses reviewing course syllabi received with an evaluation of what is happening in each area (e.g., course titles, emphases, major works and resources in use, syllabi models, trends, observations), along with a few exemplary syllabi to be made available via the ERIC Clearinghouse on Higher Education by the end of 1985
- abstracts for inclusion in an essay on "Course Syllabi as Instructional Resources," to appear in the 1986 edition of ASHE's Instructional Resources Handbook for Higher Education
- updates of the essay/abstract in four years.

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To establish a viable clearinghouse, your help is needed. Please flood members of the network with your course syllabi and suggestions. Help establish a higher education clearinghouse for course syllabi.